Doc Code: M865 or FAI.REQ.INTV

Applicant Initiated Interview Request Form

Application No.: _09/401,875_   First Named Applicant: _Zeigler_

Examiner: _Campen_   Art Unit: _3691_   Status of Application: _Rejected_

Tentative Participants:

(1) _Exr Campen_   (2) _John Lastova 33,149_

(3) _____   (4) _____

Proposed Date of Interview: _June 4 or 5_   Proposed Time: _____ (AM/PM)

Type of Interview Requested:

(1) [X] Telephonic   (2) [ ] Personal   (3) [ ] Video Conference

Exhibit To Be Shown or Demonstrated: [ ] YES   [X] NO

If yes, provide brief description: _____

Issues To Be Discussed

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1)_____	_____	_____	[ ]	[ ]	[ ]
(2)_____	_____	_____	[ ]	[ ]	[ ]
(3)_____	_____	_____	[ ]	[ ]	[ ]
(4)_____	_____	_____	[ ]	[ ]	[ ]

[ ] Continuation Sheet Attached

[X] Proposed Amendment or Arguments Attached

Brief Description of Arguments to be Presented:

Amendments proposed to include allowable subject matter and overcome 101

An interview was conducted on the above-identified application on _06/04/2012_ .

NOTE: This form should be completed by applicant and submitted to the examiner in advance of the interview (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this interview. Therefore, applicant is advised to file a statement of the substance of this interview (37 CFR 1.133(b)) as soon as possible.

_____
Applicant/Applicant's Representative Signature

JOHN R. LASTOVA
Typed/Printed Name of Applicant or Representative

33,149
Registration Number, if applicable

/Kelly Campen/
Examiner/SPE Signature

Kelly Campen
Primary Examiner,
Art Unit 3691

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Zeigler et al.   Atty. Ref.: 4010-127; Confirmation No. 5266

Appl. No. 09/401,875   TC/A.U. 3691

Filed: September 23, 1999   Examiner: Campen, Kelly Scaggs

For: MONTAGE FOR AUTOMATED MARKET SYSTEM

* * * * * * * * * * *

June 4, 2012

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

AMENDMENT

Responsive to the Official Action dated January 5, 2012 (for which petition is hereby made for a two month extension of time), please amend the above-identified application as follows:

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AMENDMENTS TO THE CLAIMS:

This listing of claims will replace all prior versions, and listings, of claims in the application:

1. (Currently Amended) A method, executed in a computer server system of an electronic market system for trading of securities, for managing quotes for a security, the method comprising:

receiving by the server computer system from client systems used by market participants, quotes, the quotes including fields to indicate whether the quote is to bid or offer a security, a first size value that indicates a displayable, attributable size amount of the quote and a second size value that indicates an additional quote size that is displayable on displays of client systems, as trading interest in a security, but not attributable to any market participant, and

the server computer system causing a total size of all aggregated quotes to be displayed for each of a plurality of price levels on the client systems.

2. (Currently Amended) The method of claim 1 further comprises:
calculating by the server computer system, a total size of quotes at a particular price level, by:

determining a total displayable, non-attributable size of the quotes received from client systems displayable quotes; and

sending a message to cause user interfaces to be rendered on displays of client systems, with the portion of the received quotes having the first size value as attributable size amounts displayed as quotes attributable of to the market participants.

3. (Previously Presented) The method of claim 1 further comprises:
receiving, by the server computer system, quotes from client systems that are reserve quotes, which are neither displayable quotes nor attributable to market participants, but are available as trading liquidity in the security.

4. (Previously Presented) The method of claim 2 further comprising:

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sending by the server computer system, a message to display the total displayable, non-attributable quote sizes as displayable quotes without displaying identifications of the market participants from which the non-attributable quote sizes were received.

5. (Currently Amended) The method of claim 4 wherein calculating total quote size comprises:

determining, by the server computer system, the total quote sizes by adding the first and second size values for the received quotes at each of a plurality of corresponding price levels to provide the total displayable quote sizes for each of the corresponding price levels;

causing displays of client systems to render in a user interface the total of displayable quote sizes in a first region of-as separate entries for both bid and offer for each of a plurality of different price levels provided in a quote montage.

6. (Previously Presented) The method of claim 4 wherein determining total aggregate quote size for quotes received for the security, comprises:

adding, by the server computer system, liked-priced quotes of the displayable and additional aggregate quote type together to provide a total aggregate quote.

7. (Currently Amended) The method of claim 5 further comprising:

causing displays of client systems[[,]] to render the attributable quotes as individual lines in a current quote window with market participant identifiers adjacent the quotes to attribute the quotes; and

causing the displays of client systems to render the displayable, non-attributable size of the quotes as single entry for each of the price levels.

8. (Previously Presented) The method of claim 2 further comprising:

determining, by the server computer system, if the additional aggregate quotes and displayable quotes are proprietary or agency quotes;

determining, by the server computer system, a total of all agency quotes and proprietary quotes; and

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causing displays of client systems to render a total of all agency quotes and to render in a separate area of a montage a total of all displayable quotes as the total of agency quotes and proprietary quotes.

9. (Previously Presented) The method of claim 1 further comprising:

determining, by the server computer system, if the quote only has a displayable attributable or displayable non-attributable quote size;

adding, by the server computer system, the size of quote to corresponding sizes of other quotes at corresponding price levels;

causing displays of client systems to render in a first portion of a quote montage, the quote, if the quote is displayable, and attributable, and in a different portion of the montage a total displayable quote size.

10. (Previously Presented) The method of claim 1 further comprising;

receiving, by the server computer system, a reserve quote.

11. (Previously Presented) The method of claim 2 further comprising:

receiving, by the server computer system, an order produced when a user selects in the user interface one of the received quotes with the first size value; and

executing, by the server computer system, the order against a quote stored in the server computer system with the order executed against the quote.

12. (Previously Presented) The method of claim 5 wherein executing further comprises:

receiving, by the server computer system, an order produced when a user selects in one of the user interfaces one of the separate entries at one of the price levels; and

executing, by the server computer system, the order against quotes corresponding to the one of the separate entries in the user interface.

13. (Currently Amended) An electronic market ~~system~~ for trading of securities, ~~the~~ ~~market comprising:~~ in association with a plurality of client systems for entering quotes, the

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quotes including fields to indicate whether the quote is to bid or offer a security, a first size value that indicates a displayable, attributable size amount of the quote and a second size value, with the first size values of quotes being quotes that are displayable and attributable to a specific market participant, and the second size values being quotes that are displayable but not attributable to a specific market participant; and, the electronic market system comprising a server computer system configured to:

 receive the quotes from the client systems[[;]];

 calculate a size of first quote sizes of the received quotes; and

 cause totals of the first and second size values of the a total size of all aggregated quotes to be displayed on the client system for each as values in corresponding ones of a plurality of price levels; and

 cause quotes having a first size value to be displayed on displays of the client systems as individual quotes with the first size value for each quote with a market participant identifier on the client systems.

14. (Currently Amended) The electronic market system of claim 13 wherein at client systems quotes further comprise a reserve quote size that are reserve quotes that are neither displayable nor attributable to a specific market participant.

15. (Currently Amended) The electronic market system of claim 13 wherein the user interface includes a montage for displaying the second size values of quotes at multiple price levels on either side of the market.

16. (Currently Amended) The electronic market system of claim 1315 wherein the server computer system is configured to cause totals of the first and second size values for quotes are to be displayed on the displays in a graphical user interface comprising fields for proprietary interest and agency interest according to the type of quote.

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17. (Currently Amended) The electronic market system of claim 13 wherein the server is configured to cause ~~causes~~ the displays to render a graphical user interface that includes a current quote montage disposed adjacent to a montage to display second size values.

18. (Currently Amended) A client system for entering quotes for securities, the client station comprising:

a display ~~rendering~~ configured to render a graphical user interface at which quotes can be entered at a price level, said graphical user interface comprising fields to enter a quote having a first size value that indicates a displayable, attributable size amount of the quote displayable and attributable to a specific market participant, and a second field for entering a second size value that indicates an additional quote size that is displayable but not attributable to a specific market participant, and

a computer configured to display a total size of all aggregated quotes for each of a plurality of price levels.

19. (Previously Presented) The system of claim 18 wherein the graphical user interface comprises a third field for entering a third size value that indicates a reserve quote being neither displayable nor attributable to a specific market participant.

20. (Currently Amended) A computer program product for rendering a graphical user interface for an electronic market system for trading products, the computer program product ~~tangible~~ tangibly embodied on a non-transitory, computer-readable storage device[[,]] and storing ~~comprising~~ instructions which when executed by ~~for causing~~ a processor cause the processor to:

render the graphical user interface having a first portion that displays size values of additional quotes for a plurality of price levels of a product traded in the market, the additional quotes including size values of quotes that are attributable to market participants and size values of quotes that are displayable quotes but are not attributable to any market participants, and

display a total size of all aggregated quotes for each of a plurality of price levels.

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21. (Previously Presented) The computer program product of claim 20 further comprising instructions to:

    render a current quote portion disposed adjacent the first portion of the graphical user interface.

22. (Previously Presented) The computer program product of claim 21 wherein computer program product further comprises instructions to:

    cause the current quote window to display displayable quotes of participants in the system.

23. (Previously Presented) The computer program product of claim 21 further comprising instructions to:

    render the graphical user interface with the current quote window listing the displayable, attributable quotes ordered according to price as a list of bid quotes and a separate list of offer quotes disposed adjacent the first portion of the graphical user interface.

24-41. Canceled.

42. (Currently Amended) A computer program product tangibly embodied on a computer readable storage device, the computer program product for managing quotes in an electronic market system that trades securities, the computer program product comprising instructions for causing a computer to:

    receive quotes for a security, the quotes including fields for an indication of the quote as a bid or ask, a price and a first size value that is a displayable, attributable size amount attributable to a particular market participant and a second size value that is a displayable, non-attributable size amount;

    calculate a total aggregate size value~~values~~ of all received quotes at price levels specified by the prices in the quotes ~~to provide total size values~~; and

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generate a user interface to render the total aggregate size ~~values~~ value ~~representing a total of the number of displayable shares represented by the received quotes~~ for each of at least some of the ~~plurality of~~ price levels.

43. (Previously Presented) The computer program product of claim 42 wherein instructions to receive quotes further comprises instructions to:

cause the graphical user interface to render the attributable quotes with an market participant identifier attribute.

44. (Previously Presented) The computer program product of claim 42 wherein instructions to receive quotes further comprises instructions to:

receive quotes that are reserve quotes, the reserve quotes being quotes that are available for trading in the security;

cause the reserve quotes to be neither attributable to market participants nor displayable.

45. (Previously Presented) The computer program product of claim 43 further comprises instructions to:

cause the graphical user interface to render the total size values for a plurality of price levels as separate entries for each of bid and ask quotes.

46. (Previously Presented) The computer program product of claim 43 further comprises instructions to:

cause the graphical user interface to render displayable quotes with attribution to a particular market participant associated with the quote as quotes entries in a separate portion of the graphical user interface.

47. (Previously Presented) The computer program product of claim 43 wherein instructions to calculate further comprise instructions to:

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determine if the quote is subject to automatic execution prior to adding size values of the quote; and

cause the instructions to add to include only size values of quotes that are subject to automatic execution as displayable.

48. (Previously Presented) The computer program product of claim 43 wherein instructions to receive quotes further comprises instructions to:
determine if the quotes are proprietary or agency quotes;
determine a total size of all displayable agency quotes and proprietary quotes ; and
cause the graphical user interface to render the total size of all displayable agency quotes in a separate set of fields in the graphical user interface; and
cause the total size values of the received quotes to include the total size values of all agency quotes and proprietary quotes.

49. (Previously Presented) The computer program product of claim 43 wherein instructions to receive quotes further comprise instructions to:
receive an order; and
execute the order against a quote that is a currently marketable quote according to an execution priority that gives priority to execution to attributable quotes over non-attributable quotes that are at the same price.

50. (Previously Presented) The computer program product of claim 49 further comprising instructions to:
receive the quote having a third size value that indicates the third size value of the quote that is a reserve size value;
determine if there is a balance to the order; and if so,
execute the balance of the order against reserve size value of the quotes.

51. (Currently Amended) A computer program product tangibly stored on a non-transitory, computer-readable storage device for managing quotes in an electronic market for

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trading financial security products, the computer program product comprising instruction for
causing a computer to:

receive from client systems of market participants, quotes, the quotes including fields to
indicate whether the quote is to bid or offer a security, a first size value that indicates a
displayable, attributable size amount of the quote and a second size value that indicates an
additional quote size that is displayable on displays of client systems, as trading interest in a
security, but not attributable to any market participant;

calculate a total ~~sizes values of~~ aggregate quote size for each of a plurality of ~~quotes at~~
price levels; and

cause a user interface to be rendered on display devices, the user interface including a
first plurality of indicators that display as a numeric quantity total size values of attributable and
non-attributable quotes of market participants at each of ~~a~~ the plurality of price levels ~~based on~~
~~the calculated total size values, and~~ a second, separate set of indicators that displays attributable
quotes, and a third indicator that displays a total aggregate quote size for each of the plurality of
the price levels.

52. (Previously Presented) The computer program product of claim 51 further comprising
instructions to generate the first and second set of indicators as controls, which when selected by
a user causes an execution of the quote and whose size value is represented as either the
attributable or the non-attributable size values rendered in the control.

53. (Previously Presented) The computer program product of claim 51 further comprising
instructions to generate a quote montage window adjacent the first plurality of indicators, the
quote montage to display the attributable quotes.

54. (Previously Presented) The computer program product of claim 51 wherein the
indicators are for three price levels for each side of the market, with a first one of the indicators
being at price levels corresponding to the inside quotes and the others being next best price levels
in the system.

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55. (Previously Presented) The computer program product of claim 51 wherein the indicators display quantities of quotes in the market at the price levels and the values of the size values in the indicators are dynamically updated.

56. (Previously Presented) The computer program product of claim 51 further comprising instructions to generate a quote montage window adjacent the first plurality of indicators, the quote montage to display the attributable quotes by market participant identifier.

57. (Previously Presented) The computer program product of claim 56 wherein the quote montage window that displays the attributable quotes, renders a market participant identifier, a price, and a size value.

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REMARKS

The Commissioner is hereby authorized to charge any deficiency, or credit any

overpayment, in the fee(s) filed, or asserted to be filed, or which should have been filed herewith

(or with any paper hereafter filed in this application by this firm) to our Account No. 14-1140.

Respectfully submitted,

NIXON & VANDERHYE P.C.

By: _____

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